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Education and Training Procedures

PURPOSE AND AUTHORITY

This handbook provides guidelines for the Mine Safety and Health Administration (MSHA) to carry out Sections 115, 502, and 503 of the Federal Mine Safety and Health Act of 1977 (Mine Act) and Title 30, Code of Federal Regulations (CFR), Part 48. These regulations provide: mandatory health and safety training (Section 115 and Part 48); expansion of education and training programs and technical assistance to mine operators (Section 502); and grants to States (Section 503).

SCOPE AND USE

This handbook applies to training program activities within MSHA required by Sections 115, 502, and 503 of the Mine Act. The procedures contained within this handbook will be used in MSHA's Coal and Metal and Nonmetal Districts, particularly by training specialists and inspectors, to enforce training program requirements and related activities.

Congress has restricted funding for enforcement of any training requirements pursuant to Sections 115 and 104(g) (1) of the Mine Act with respect to shell dredging, sand, gravel, surface stone, surface clay, colloidal phosphate, or surface limestone mines.

Previously written procedures for field personnel on these subjects are superseded by this handbook.

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EDUCATION AND TRAINING

PROCEDURES HANDBOOK

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CHAPTER I - APPROVAL OF TRAINING PLANS AND PROGRAMS

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CHAPTER I - APPROVAL OF TRAINING PLANS AND PROGRAMS

This chapter outlines the procedures for approving 30 CFR Part 48 training plans and programs for mine operators, independent contractors, and cooperatives. Also, refer to MSHA's Program Policy Manual, Volume V, Section V.G-4 for additional guidelines.

A. Mine Operator Plans and Programs

1. Stamp the Part 48 training plan with the date the plan is received. Compare the mine ID with the company and mine name appearing on the training plan. If there is not a mine ID number, the District should help the operator obtain one.
2. The plan approval period begins on the date the District receives the training plan. This period is normally 60 days unless extended by the District. Maintain a log on all training plans with the following data included: date the training plan was received, mine ID, company name, mine name, if underground or surface, date of approval or date(s) of alternative actions. These actions can be disapproval, revisions, and approval of separate programs of the training plan.
3. Check the name of each instructor listed on the training plan to be sure they are MSHA approved for those courses or programs. This information is available from the Denver Qualification & Certification Unit, District computer operations, or the updated District instructor files. If you do not find the instructor's name, refer to Chapters III and VI of this handbook for instructor certification.
4. Review each training plan for the required information found in Sections 48.3(a) and (c)/48.23(a) and (c). (Attachment I-A is a suggested guide for plan review.)
5. Review the training plan to determine if the plan addresses the mine - specific aspects.
6. If the District approves the training plan, notify the operator and, if applicable, the miners' representative. Keep copies of approval letters and plans in the appropriate District and field offices.
7. If the District disapproves the plan, notify the operator, in writing, and, if applicable, the miners' representative stating the reasons for the disapproval.

B. Independent Contractor Plans and Programs

1. Stamp the Part 48 training plan with the date the plan is received. Compare the independent contractor ID number with the contractor name appearing on the training plan. If there is not a contractor ID number, the District should help the contractor obtain one.

2. The plan approval period begins on the date the District receives the training plan. This period is normally 60 days unless extended by the District. Maintain a log on all training plans with the following data included: date the training plan was received, contractor ID, contractor name, work activity at the mine, date of approval or date(s) of alternative actions. These actions can be disapproval, revisions, and approval of separate programs of the training plan.
3. Check the name of each instructor listed on the training plan to be sure that he/she is MSHA approved for those courses or programs. This information is available from the Denver Qualification & Certification Unit, District computer operations, or the updated District instructor files. If you do not find the instructor's name, refer to Chapters III and VI of this handbook for instructor certification.
4. Review each training plan for the required information found in Sections 48.3(a) and (c)/48.23(a) and (c). (Attachment I-A is a suggested guide for plan review.)
5. Review the training plan to determine if the plan addresses the contractor specific aspects (such as type of work performed, equipment used, etc.).
6. If the District approves the plan, notify the contractor. Keep copies of approval letters and plans in the appropriate District and field offices.
7. If the District disapproves the plan, notify the contractor, in writing, stating the reasons for the disapproval.

C. Cooperative Programs (Plans)

1. Stamp the Part 48 training program with the date the program is received.
2. The program approval period begins on the date the District receives the training program. This period is normally 60 days unless extended by the District. Maintain a log on all training programs with the following data included: date the training program was received, organization's name, date of approval or date(s) of alternative actions. These actions can be disapproval, revisions, and approval of separate programs of the training program.
3. Check the name of each instructor listed on the training program to be sure that he/she is MSHA approved for those courses or programs. This information is available from the Denver Qualification & Certification Unit, District computer operations, or the updated District instructor files. If you do not find the instructor's name, refer to Chapters III and VI of this handbook for instructor certification.
4. Review each training program for the required information found in Sections 48.3(a) and (c)/48.23(a) and (c). (Attachment I-A is a suggested guide for program review.)

5. Review the training program to determine if the program is adaptable to the mine - specific aspects (such as mining methods, SCSR and respirator models, etc.).
6. If the District approves the program, notify the organization. Keep copies of approval letters and programs in the appropriate District and field offices.
7. If the District disapproves the program, notify the organization, in writing, stating the reasons for the disapproval.

ATTACHMENT I-A

TRAINING PLAN/PROGRAM APPROVAL GUIDELINE

Company Name: _____

Mine Name: _____

Mine ID Number: _____

This guideline does not contain requirements. It is an aid for evaluators reviewing training plans to check that all appropriate information is included in the plans. **Some items will not apply to all training plans.**

Training programs for:

- _____ New miners
- _____ Newly employed experienced
- _____ New tasks
- _____ Annual refresher
- _____ Hazard

- _____ Company name
- _____ Mine name
- _____ Mine ID number

- _____ Person responsible for training
- _____ Position of this person

- _____ List of MSHA approved instructors
- _____ Courses qualified to teach

- _____ Location where training will be given

- _____ Teaching methods
- _____ Course materials

- _____ Number of miners employed at mine
- _____ Number to attend session of training

- _____ Predicted time or periods of annual refresher training
- _____ Length of each session, etc.

- _____ Complete list of task assignments
- _____ Title of person(s) conducting task training
- _____ Outline of training procedures used in task training
- _____ Evaluation procedures used for task training

TRAINING PLAN COURSES

NEW MINER

UNDERGROUND

_____ Total Hours

1. _____ Statutory Rights
2. _____ Self-Rescue and Resp. Devices
3. _____ Transportation and Communication
4. _____ Intro to Work Environment
5. _____ Map; Emergency Evacuation
6. _____ Roof/Ground Control/Ventilation Plans
7. _____ Health
8. _____ Cleanup; Rock Dusting
9. _____ Hazard Recognition
10. _____ Electrical Hazards
11. _____ First Aid
12. _____ Mine Gases
13. _____ Health and Safety Aspects

SURFACE

_____ Total Hours

1. _____ Statutory Rights
2. _____ Self-Rescue and Resp. Devices
3. _____ Transportation and Communication
4. _____ Intro to Work Environment
5. _____ Escape and Emergency Evacuation
6. _____ Ground Control
7. _____ Health
8. _____ Hazard Recognition
9. _____ Electrical Hazards
10. _____ First Aid
11. _____ Explosives
12. _____ Health and Safety Aspects

NEWLY EMPLOYED EXPERIENCED

UNDERGROUND

1. _____ Intro to Work Environment
2. _____ Mandatory Health/Safety Standards
3. _____ Authority/Responsibility of Suprs.
4. _____ Transportation and Communication
5. _____ Map; Emergency Evacuation
6. _____ Roof/Ground Control/Ventilation Plans
7. _____ Hazard Recognition
8. _____ Self-Rescue and Resp. Devices

SURFACE

1. _____ Intro to Work Environment
2. _____ Mandatory Health/Safety Standards
3. _____ Authority/Responsibility of Suprs.
4. _____ Transportation and Communication
5. _____ Escape and Emergency Evacuation
6. _____ Ground Control
7. _____ Hazard Recognition

NEW TASK TRAINING

UNDERGROUND

1. _____ Health and Safety Aspects
2. _____ Supervised Practice/Operation
3. _____ New or Modified Machines, etc.
4. _____ Other Courses

SURFACE

1. _____ Health and Safety Aspects
2. _____ Supervised Practice/Operation
3. _____ New or Modified Machines, etc.
4. _____ Other Courses

ANNUAL REFRESHER

UNDERGROUND

_____ Total Hours

1. _____ Mandatory Health/Safety Standards
2. _____ Transportation and Communication
3. _____ Barricading
4. _____ Roof/Ground Control/Ventilation Plans
5. _____ First Aid
6. _____ Electrical Hazards
7. _____ Prevention of Accidents
8. _____ Self-Rescue and Resp. Devices
9. _____ Explosives
10. _____ Mine Gases
11. _____ Health

SURFACE

_____ Total Hours

1. _____ Mandatory Health/Safety Standards
2. _____ Transportation and Communication
3. _____ Escape and Emergency Evacuation
4. _____ Ground Control
5. _____ First Aid
6. _____ Electrical Hazards
7. _____ Prevention of Accidents
8. _____ Health
9. _____ Explosives
10. _____ Self-Rescue and Resp. Devices

HAZARD TRAINING

UNDERGROUND

1. _____ Hazard Recognition and Avoidance
2. _____ Emergency and Evacuation Procedures
3. _____ Health/Safety Standards/Procedures
4. _____ Self-Rescue and Resp. Devices

SURFACE

1. _____ Hazard Recognition and Avoidance
2. _____ Emergency and Evacuation Procedures
3. _____ Health/Safety Standards/Procedures
4. _____ Self-Rescue and Resp. Devices

Name of Contact With Company: _____

Field Office Reviewer:

NAME

DATE

District Plan Reviewer:

NAME

DATE

CHAPTER II - EVALUATION OF TRAINING PLANS AND PROGRAMS

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- B. Pre-Evaluation Process
- C. On-Site Evaluation Process
- D. Post-Evaluation Process
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CHAPTER II - EVALUATION OF TRAINING PLANS AND PROGRAMS

Operators training under an approved training plan are subject to evaluation by the District under Sections 48.3(e)/48.23(e). The District determines when to evaluate a mine's program.

Choosing from hundreds of active operations which mines will benefit from a training program evaluation is difficult. The guidelines contained in this chapter are an aid for District personnel to select mines for program evaluations.

The information gained from this evaluation process should show where a training program is effective and where it is not. Observation and analyzing data are ways to measure achievement of instructional goals. The evaluation results should identify whether any unsafe job performance is the result of ineffective training.

A. Selection Process

1. It may be necessary to conduct an evaluation to fulfill the responsibilities under the 1977 Mine Act, such as Sections 103(g), 107 and 110(f).
2. Otherwise, use the following suggested criteria to select training programs for evaluation. (This is not a priority listing; apply individual judgement to each mine.)
 - a. Written requests from management or labor.
 - b. Requests from District enforcement personnel.
 - c. Mines with a high incident rate.
 - d. Mines with an increasing incident rate.
 - e. Mines having repeated accidents of the same nature.
 - f. Training programs conducted by colleges, associations and other groups for a large number of mines or miners.
 - g. Mines where fatal or nonfatal accident investigations reveal that training may have been a factor.
 - h. Mines with good safety records to reinforce those safe practices.

B. Pre-Evaluation Process

1. Obtain a copy of the mine's training plan and all available accident and inspection data.
2. Compile, review and analyze the above information and documents and any other pertinent information before going to the mine.

C. On-Site Evaluation Process

1. Initial Meeting
 - a. Hold initial meeting with management, with miners' representative, if appropriate, and with other appropriate parties to explain the evaluation process.
 - b. Discuss mine selection, planned on-site activities, and involvement by mine personnel in the evaluation.
 - c. Plan a schedule for on-site activities.
2. Initial Interviews
 - a. Person responsible for health and safety training.
 - b. Officials of the mine or cooperative program in charge.
 - c. Miners' representative if appropriate.
3. Review and Evaluation

The evaluator should do the following to become familiar with the mine's operations.

- a. Review mine maps, task analyses, job safety analyses (JSAs), and job descriptions to become familiar with the mine and jobs at the mine.
- b. Review training materials and resources used to determine if they are current and pertinent to the mine specific aspects.
- c. Review lesson plans and methods of student and course evaluations.
- d. Review training records for recordkeeping practices such as completeness, accuracy, and timeliness.
- e. Determine if the course content is appropriate to the miners' needs.

4. Monitoring and Observing

- a. Monitor course presentations when possible.
- b. Observe workers to see if they follow safe job procedures as outlined in task training guidelines or other task analyses.

5. Miner Interviews

Interview mine employees on different shifts in key jobs or areas determined to be important through data analysis (refer to Section E. of this chapter).

6. Pre-Closeout Meetings

- a. Discuss any instructor-related training problems with the individual instructors involved.
- b. Review overall findings with the person in charge of health and safety training.

7. Closeout Meeting

- a. Provide all appropriate parties an opportunity to attend.
- b. Acknowledge cooperation received. Keep the meeting friendly but businesslike and keep to the subject at hand.
- c. Discuss both positive and negative findings of the review. Only findings discussed in the closeout meeting should be in the written report.
- d. Allow participants to have input in the meeting and written report.

D. Post-Evaluation Process

Prepare a written report documenting findings and any suggested or required changes. The goal is to help the mine in correcting any deficiency and in developing the most effective training program possible.

- 1. Carefully separate facts and observations from your own ideas and recommendations.
- 2. Base recommendations on evidence from interviews, findings and evaluations.
- 3. Make report concise but complete.
- 4. The report should include:

- a. Mine selection summary
 - b. Observations and facts
 - c. Recommendations
 - d. Necessary training plan revisions
 - e. Summary of miner interviews
5. Keep a copy of all evaluation records until the evaluation process is finished. Keep a copy of the current final report until the next evaluation or for 3 years, whichever occurs first.
 6. Provide copies of the report to the operator and the miners' representative, if applicable.

E. Interview Procedures

When conducting interviews and recording data:

1. Introduce yourself.
 2. Explain the reasons for the interview.
 3. Ask questions prepared in advance. To compare question responses, you must give all miners the same chance to answer the questions accurately. For this reason, state the question from your question list identically to each individual. You may repeat a question if necessary.
 4. Deviate from the prepared questions as good judgement indicates.
 5. Conduct interviews with as little disruption as possible to the work process.
 6. Record the results of each interview on an "interview summary sheet."
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7. Check Form 5000-23 records to verify responses if necessary. (Not everyone is familiar with the training program names and confusion may result.) When checking an individual's Form 5000-23, record the results on the interview summary sheet.

CHAPTER III - APPROVAL OR DISAPPROVAL OF INSTRUCTORS

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CHAPTER III - APPROVAL OR DISAPPROVAL OF INSTRUCTORS

Instructors need two basic qualifications: (1) knowledge of subject matter and (2) effective teaching skills. Persons presently available to do mandatory training of miners range from professional educators to persons without any prior teaching experience.

Professional educators without mining experience can be effective mine health and safety instructors if given training on basic knowledge of mining. Other prospective health and safety instructors may have an extensive mining background but little or no practical teaching experience. These persons must receive teaching skills that will enable them to prepare and present courses using their knowledge and experience in the subject matter.

Then, there are prospective instructors who are persons with both teaching and mining experience. To utilize such individuals and save time, procedures should be available to put these persons to work as instructors as quickly as possible.

A. Approval Methods

MSHA approves instructors to teach specific courses and to train other instructors (instructor trainers) by one or more of the following methods:

Method 1 - Training Conducted by MSHA

Method 2 - Training Conducted by MSHA Approved
Instructor Trainers

Method 3 - Qualifications and Teaching Experience

Method 4 - Provisional Instructor Requiring
Monitoring

When determining an applicant's experience and knowledge, several factors are listed in Sections E and F of this chapter.

Method 1 - Training Conducted by MSHA

[§§ 48.3(h)(1)/48.23(h)(1)]

Applicants successfully complete an instructor's training course conducted by MSHA and a program of instruction approved by MSHA for each subject they will teach.

Applicants for approval as instructors and instructor trainers by Method 1 shall:

1. Inform the District, in writing, that they want to attend the MSHA instructor training course and indicate which subject matter courses or programs they intend to teach.
2. Submit information to the District in advance of the instructor training course on their mining experience, training experience and training completed.
3. Satisfactorily complete the 3-day instructor training course conducted by MSHA.

At the completion of the instructor training course, the District shall:

1. Make a determination of each applicant's knowledge of the subject matter.
2. Make a determination of each applicant's teaching skills and qualifications.
3. Approve the applicant to teach specific courses based on the determinations made above. Inform instructors as soon as possible, in writing, of the approval. Enter their credentials into the instructor computer system (refer to Chapter VI of this handbook). When an applicant is not approved, follow the procedures in Section B. of this chapter.

Method 2 - Training Conducted by MSHA Approved Instructor Trainers [§§ 48.3(h)(1)/48.23(h)(1)]

Applicants successfully complete an MSHA approved instructor training course and a program of instruction approved by MSHA for each subject they will teach.

Applicants for approval as instructors and instructor trainers by Method 2 shall:

1. Inform the instructor trainer, in writing, that they want to attend the instructor training course and indicate which subject matter courses or programs they intend to teach.
2. Submit information describing their mining experience, training experience and training completed to the person(s) conducting training in advance of the instructor training course.
3. Satisfactorily complete the MSHA approved instructor training course conducted by the instructor trainer.

Upon completion of the instructor training course, the instructor trainer shall submit the following to the District:

1. Instructor File Update (Form 5000-13) for each applicant satisfactorily completing the course.
2. Information describing each applicant's experience.

Upon receipt of the above information from an instructor trainer, the District shall:

1. Make a determination of each applicant's knowledge of the subject matter.
2. Make a determination of each applicant's teaching skills and qualifications.
3. Approve the applicant to teach specific courses based on the determinations made above. Inform instructors as soon as possible, in writing, of the approval. Enter their credentials into the instructor computer system (refer to Chapter VI of this handbook). When an applicant is not approved, follow the procedures in Section B. of this chapter.

Method 3 - Qualifications and Teaching Experience **[§§ 48.3(h)(2)/48.23(h)(2)]**

Applicants for approval as instructors by Method 3 shall:

1. Submit an application to the District requesting approval to teach based on qualifications and teaching experience and include a list of the specific courses they intend to teach.
2. Submit information describing their mining experience, training experience and training completed to the District.

Upon receipt of the above information, the District shall:

1. Make a determination of each applicant's knowledge of the subject matter.
2. Make a determination of each applicant's teaching skills and qualifications.
3. Approve the applicant to teach specific courses based on the determinations made above. Inform instructors as soon as possible, in writing, of the approval. Enter their credentials into the instructor computer system (refer to Chapter VI of this handbook). When an applicant is not approved, follow the procedures in Section B. of this chapter.

Method 4 - Provisional Instructor Requiring Monitoring
[§§ 48.3(h)(3)/48.23(h)(3)]

Districts may designate persons as provisional instructors to teach specific courses. Each such instructor is subject to follow-up approval based on the District's monitoring classroom performance.

Operators requesting approval of persons as provisional instructors by Method 4 shall:

1. Submit in writing reasons why other approval methods would impose an extreme hardship.
2. List competent persons they will use to teach specific courses. These persons are provisional instructors until the District monitors them.

Upon receipt of the request from an operator, the District shall:

1. Review reasons why other instructor approval methods would impose an extreme hardship. Determine the validity of the request and consider such factors as size of the mine, number of employees, mine safety record, and availability and accessibility of training.
2. Approve the provisional instructors based on the determinations made above.
3. Inform the operator as soon as possible, in writing, of the approval. Enter the instructor's credentials into the instructor computer system (refer to Chapter VI of this handbook). When the person is not approved, follow the procedures in Section B. of this chapter.
4. Arrange for monitoring of provisional instructors as soon as possible.

Effective October 13, 1978, previously approved cooperative instructors who taught MSHA courses in the prior 24 months keep their approval. This is a result of the "grandfather" clause contained in Part 48 [§§ 48.3(h)(4)/48.23(h)(4)].

B. Instructor Disapproval

If an applicant is not approved based on evaluation by one of the four methods, the District sends notification of disapproval to the applicant as soon as possible. This written notification must identify areas of deficiency or other reasons for disapproval. For example, the applicant did not attend the amount of required time during an instructor training class.

C. Limited Instructors

"Limited instructors" are individuals approved for surface operations (IS) and/or underground operations (IU) to teach only specific courses under the appropriate subpart of 30 CFR Part 48.

D. Approval to Teach Additional Courses

Instructors shall notify the District, in writing, if they wish to teach other courses. The District approves applicants based on their knowledge of the subject matter.

If the District determines that an applicant does not have adequate subject matter knowledge, notify the applicant, in writing.

E. Criteria for Determining Subject Knowledge

The District may use the following factors to determine an applicant's subject matter knowledge:

1. The applicant's work experience directly relates to the subject area.
2. The applicant has MSHA and State qualification and certification.
3. The applicant has completed MSHA approved courses.
4. The applicant has related degrees from accredited institutions.
5. The applicant has completed related classes at other institutions.
6. Other pertinent information.

F. Criteria for Determining Teaching Skills

The District may use the following factors to determine an applicant's teaching ability:

1. Evaluation of micro-teaching sessions during the 3-day instructor training course.
2. Teaching experience.
3. Work experiences that are similar to teaching experiences (i.e. safety meetings, on-the-job training, etc.).
4. Standardized evaluation by the District during monitoring of the applicant's classes in the field.

5. Education courses completed.
6. Education degrees from accredited schools.
7. Other pertinent information.

In reviewing the qualifications of an applicant for instructor trainer, place particular emphasis on experience training other instructors.

G. Instructor Trainer Guidelines

Use Method 1 or 2 to approve an instructor trainer. The District approves instructor trainers to teach a 3-day instructor training course.

The instructor training course teaches the fundamentals of effective teaching and does not teach mine specific subject matter. Persons completing the 3-day instructor training course fall into two groups:

1. Those who will teach other instructors the basics of good teaching. Persons completing the instructor training course must also have a knowledge of the specific subject matter they intend to teach. Those who will teach other instructors (instructor trainers) can obtain knowledge of the subject matter through teaching experience or training.
2. Those who will teach miners the mandatory courses.
A person who will teach miners may gain subject matter knowledge through mining experience or training.

District personnel must be sure that each approved instructor has the skills to teach and has adequate knowledge of the subject matter. The following is a list of guidelines that will help to conduct an effective instructor training course:

- Class size. Ten to 15 students to allow for adequate individual attention and time for micro-teaching during the instructor training course.
- Proper equipment. Video cassette recorder (VCR); film and overhead projectors; some items to use in micro-teaching, such as self-rescuers, safety glasses, etc.; and hand-out materials pertinent to the course.
- Facilities. Electrical outlets, tables or desks large enough to permit workshop-type training, and break facilities.

Make subject matter training available to applicants who need it. Subject matter training programs are available from MSHA, State or other Federal agencies, associations of mine operators, miners' representatives, mine operators, private associations or educational institutions.

When the students complete this course, the instructor trainer will submit MSHA Form 5000-13 and the applicant's qualification summary to the MSHA District Office for that geographical area.

If an instructor trainer significantly changes the MSHA 3-day class or designs a different course, the District must approve this course before use.

CHAPTER IV - EVALUATING AND MONITORING APPROVED INSTRUCTORS

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- B. Monitoring Approved Instructors
- C. Attachment IV-A

CHAPTER IV - EVALUATING AND MONITORING APPROVED INSTRUCTORS

A. Evaluating Approved Instructors

Evaluation of an instructor is usually part of the overall evaluation of the mine's training programs. The District may want to conduct special evaluations of instructors for the following situations:

1. Provisional instructors (PI) - instructors approved provisionally until the District can evaluate their performance.
2. Instructor trainers (IN) - trainers approved to teach a 3-day approved instructor training course.
3. Instructors approved based on experience (AI) - instructors approved based solely on written evidence of their teaching experience and qualifications.
4. Requests to monitor instructors received from management, labor or enforcement personnel.

The main factor to consider when evaluating an instructor is the achievement of training goals. Other factors to consider are the preassessment of student needs, the preparation of the lesson plan and goals, methods of presentation, how the students apply the presented material, and student performance evaluation.

The documentation sheets at the end of this chapter (Attachment IV-A) will aid District personnel in documenting the evaluation of an instructor. Persons evaluating instructors should remember that the purpose of the evaluation is to help the instructors improve their performance, and not solely to revoke the approval of instructors whose performance is inadequate. Discuss evaluation findings and recommendations with the instructor. Keep a written record of the evaluation on file at the District Office. After evaluating instructors, update their instructor code to Monitored Instructor (MI) status in the instructor computer system (refer to Chapter VI of this handbook).

B. Monitoring Approved Instructors

As resources permit, Districts should monitor as many MSHA approved instructors as feasible. Monitoring provides the opportunity to help with training materials; to enhance skills, knowledge, and abilities; and make recommendations. Monitoring includes:

1. Reviewing training program(s) to be sure courses taught are under the approved training plan, and consider accident data, violation history and other pertinent information.
2. Reviewing training materials, lesson plans and resources available to determine

their application to the training program.

3. Discussing with the instructor the methods of student evaluations and how they can measure achievement of training goals.
4. Attending course presentations to determine if:
 - a. the instructor is prepared to teach;
 - b. the course has a clear training goal;
 - c. the instructor presented clear and accurate information;
 - d. the miners participated through questions and answers, or hands-on exercises;
 - e. the mine's training plan and presented material addressed specific training needs (other plans to use for comparison are ventilation plans, roof control plans, health control plans, escape and evacuation plans, etc.); and
 - f. the instructor took appropriate steps when students did not achieve the training goals.
5. Determining if each program meets the minimum time requirements as stated in the mine's training plan.
6. Determining the completion of course requirements for each program.
7. Determining accuracy of training certificate (MSHA Form 5000-23) completion, proper instructor designation for classes taught, and accurate documentation of class attendance for each training session.
8. Discussing any strong points or deficiencies with the instructor.
9. Recommending improvements or corrective measures.
10. Determining if the student/teacher ratio for hands-on training and the class size were appropriate.
11. Determining if the course presentation (underground/ surface; initial/refreshers; etc.) was appropriate.

To determine the effectiveness of an instructor, it is important to see a class presentation and to assess the achievements of the students. The District may use Attachments IV-A and interview summary sheets to evaluate an individual instructor.

INSTRUCTOR MONITORING AND EVALUATION DOCUMENTATION

The monitoring and evaluation of an instructor should focus on the total instructional process. The achievement of the course objectives should be the primary concern when evaluating training for its effectiveness.

Make comments for each "No" response. The comments for each area marked "No" must contain a corrective action. Comments should show successful performance as well as areas that need improvement. Discuss results of the evaluation with the instructor and the person responsible for training at the mine.

Use additional sheets as needed for comments.

Instructor's Name: _____ **Date:** _____

Mine or Cooperative: _____

Training Program Monitored: _____
(New Miner, Annual Refresher, etc.)

Course Monitored: _____

Evaluator(s): _____

Preparation**Circle**

Was the instructor prepared
to teach the course/program
(lesson plan, equipment, etc.)?

YES

Comments: _____

NO

Preassessment

A. Was there a preassessment of
student needs?

YES

Comments: _____

NO

B. Were the training materials and
Program adjusted to
preassessment results?

YES

Comments: _____

NO

Lesson Plans

- | | | |
|--|-----|-----------------|
| A. Does the course/program have written course objectives? | YES | Comments: _____ |
| | NO | _____
_____ |
| B. Are the course objectives written for student(s) performance? | YES | Comments: _____ |
| | NO | _____
_____ |
| C. Do the objectives match the mine's needs? | YES | Comments: _____ |
| | NO | _____
_____ |
| D. Did the instructor use the lesson plan properly? | YES | Comments: _____ |
| | NO | _____
_____ |

Presentation

- | | | | |
|----|--|-----|-----------------|
| A. | Was the course/program presented in an environment that was conducive to learning? | YES | Comments: _____ |
| | | NO | _____ |
| | | | _____ |
| B. | Was the presented information accurate? | YES | Comments: _____ |
| | | NO | _____ |
| | | | _____ |
| C. | Did the instructor secure and maintain class interest? | YES | Comments: _____ |
| | | NO | _____ |
| | | | _____ |
| D. | Was the course content presented clearly and with a logical progression of information? | YES | Comments: _____ |
| | | NO | _____ |
| | | | _____ |
| E. | Were visual aids used effectively? | YES | Comments: _____ |
| | | NO | _____ |
| | | | _____ |
| F. | Did the instructor demonstrate proper techniques before asking a student to demonstrate proper techniques? | YES | Comments: _____ |
| | | NO | _____ |
| | | | _____ |

G.	Did the instructor secure class participation?	YES	Comments:_____
		NO	_____ _____

H.	Are minimum course time requirements met for each program?	YES	Comments:_____
		NO	_____ _____

I.	Are course requirements for each program completed?	YES	Comments:_____
		NO	_____ _____

Student Application

A.	Was there a student application?	YES	Comments:_____
		NO	_____ _____

B.	Did it match the course objectives?	YES	Comments:_____
		NO	_____ _____

C.	Was it realistic and applicable to the mine?	YES	Comments:_____
		NO	_____ _____

Evaluation

A.	Was there a student evaluation?	YES	Comments:_____
		NO	_____ _____

B.	Was the student evaluation effective?	YES	Comments:_____
		NO	_____ _____

C.	Did it measure the achievement of the objective(s)?	YES	Comments:_____
		NO	_____ _____

Achievement of Objectives

A.	Did all the students achieve the objective(s)?	YES	Comments:_____
		NO	_____ _____
B.	Were students who did not meet the objective(s) accommodated?	YES	Comments:_____
		NO	_____ _____

Follow-up

Does the contractor/instructor communicate follow-up needs to the mine operator?	YES	Comments:_____
	NO	_____ _____

Records

Are training records being administered correctly?	YES	Comments:_____
	NO	_____ _____

Recommendations:**Required Corrective Action(s)**

CHAPTER V - REVOCATION OF APPROVAL OF INSTRUCTORS

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- A. Notice of Deficiency and Proposed Revocation to the Instructor
- B. Information Meeting or Submission from the Instructor
- C. Decision on Revocation
- D. Notice of Revocation
- E. Appeals Procedure
- F. Inform Operators and Other MSHA Districts
- G. Applying for Reapproval after Revocation
- H. Criminal

CHAPTER V - REVOCATION OF APPROVAL OF INSTRUCTORS

The District Manager may revoke an instructor's approval for reasons such as: the instructor has not taught a course at least once every 24 months; did not follow the approved training plan; or, during monitoring, did not show adequate knowledge of subject matter or adequate teaching skills.

When there is a decision to revoke approval, including a decision that may involve possible criminal prosecution, the District shall immediately begin the following administrative procedures. (Attachment V-A is a flowchart that summarizes the procedures.)

A. Notice of Deficiency and Proposed Revocation to the Instructor

A certified letter from the District Manager to the instructor must clearly state the following:

1. Proposed action.
2. Specific charge(s) that prompted the proposed action.
3. Specific reason(s) for the charge(s).
4. Instructor's right to submit information to, and request an information meeting with, the District to discuss the proposed action.
5. If the instructor does not respond within 15 days the notice of revocation is instated.

This letter must contain enough information for the instructor to show or achieve compliance on the matter to the District.

Since the District Manager makes the final decision, the District Manager must not be the "recommending officer" in the proceedings. The recommending officer is the person who initiates the action, for example, an inspector, special investigator or a training specialist.

B. Information Meeting or Submission from the Instructor

1. Information Meeting

If there is an information meeting, the District Manager or a representative of the District Manager must perform or include the following steps in the meeting:

- a. Restate the proposed action.
- b. Restate the charges and determine if the instructor understands the charges and their consequences.

- c. Restate and explain the reasons for the action and present the evidence or a thorough summary of the evidence.
- d. Allow the instructor to present evidence, information and witnesses.
- e. Advise of the District's date to make the decision and of the instructor's appeal rights.
- f. Advise that the record remains "open" for 15 calendar days, if necessary, so the instructor can submit additional information.

The meeting should be tape recorded with the consent of the instructor or detailed notes taken. Make the parties aware of the recording or the notes.

2. Submission of Information from Instructor

The instructor may submit information in place of, or in addition to, an information meeting. The District must receive this submission, in writing, within 15 calendar days from receipt of the Notice of Deficiency. When the District receives the submission, the District will stamp the submission with the date of receipt.

3. After Information Meeting

After holding an information meeting or receiving a written submission, the District Manager must:

- a. Review and evaluate all records including notes, tapes, documents or written submissions.
- b. Send one of three written responses to the instructor with the results of the review:
 - (1) A "clean bill" letter if the record satisfies the deficiency or charge(s);
 - (2) A letter requesting additional necessary information to make a decision;
or,
 - (3) Notice of revocation.

C. Decision on Revocation

Base the decision on the administrative record and credibility of witnesses.

The administrative record should contain:

1. Correspondence from the District and the instructor.
2. Witness statements.
3. Documentary evidence.
 - a. training certificates
 - b. training schedules
 - c. time and attendance sheets, etc.
4. Background information.
 - a. company training plans
 - b. mine training plans
 - c. State Grant narrative and training program
5. Personnel information.
6. District and investigation reports.
 - a. training specialist report
 - b. available special investigation material, etc.
7. Meeting notes, transcripts, or tape recordings.
8. Inspector or training specialist notes.

D. Notice of Revocation

The notice of revocation must be in writing and contain:

1. Statement of the decision or action.
2. Specific charge(s).
3. Specific reason(s) for the revocation [Sections 48.3(i)/48.23(i)].
4. Statement that the decision will take effect 5 calendar days after receipt of the notice of revocation.
5. Statement of the right to appeal.

6. Statement that the administrative record is available for review at the District Office and a copy is available upon request.

Send the notice of revocation to the instructor by certified mail with return receipt requested.

E. Appeals Procedure

An instructor may appeal the revocation decision to the appropriate MSHA Administrator. Upon request from the Administrator, the District will forward a copy of the administrative record to the Administrator. The Administrator will make a decision based on that record.

The following are examples of Administrator's responses:

1. Appeal is denied. The District decision is upheld and the revocation stands.
2. Appeal is granted. The District will reinstate the instructor's certification.
3. Administrator requires an additional meeting or information. District assists as necessary.
4. Administrator refers the matter back to the District with appropriate instructions. The Administrator may base this action on new evidence or information that was not available to, or considered by, the District Manager. The District takes appropriate action based on instructions from the Administrator.

F. Inform Operators and Other MSHA Districts

The District shall immediately notify, in writing, operators who use the revoked instructor for training. The District will also notify the other MSHA District Offices of the revocation.

G. Applying for Reapproval after Revocation

Unless there are mitigating circumstances, an instructor cannot reapply for approval for 1 year following issuance of the notice of revocation. These conditions will vary depending upon factors specific to each case. Some factors to consider include the basis for revocation and the person's record as an instructor.

H. Criminal Proceedings

In those cases where the willful conduct of an instructor warrants possible criminal prosecution, the District shall follow the procedures in the Special Investigations Procedures Handbook (Chapter IV, Section 110).

CHAPTER VI - RECORDKEEPING AND QUALIFICATION & CERTIFICATION UNIT

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- A. Forms
- B. Instructor and Course Codes
- C. Required Records
- D. Products and Services Available from the
Qualification & Certification Unit in Denver
- E. Attachments (not available in this version)

CHAPTER VI - RECORDKEEPING AND QUALIFICATION & CERTIFICATION UNIT

This chapter covers the recordkeeping required of the Districts in implementing MSHA's training requirements.

A. Forms

The following forms are used or checked by the Districts:

1. MSHA Form 4000-56 (MNM only) -- Attachment VI-A

Use this form to record mines that have an approved mine training plan. A training specialist usually completes this form and enters it in the Management Information System (MIS). Keep a copy with the training plan file.

2. MSHA Form 5000-1 (Coal only) -- Attachment VI-B

Use this form to report qualification for electrical/ noise training when the applicant attends a formal training session conducted by an MSHA instructor or an MSHA - approved instructor.

3. MSHA Form 5000-13 (Coal & MNM) -- Attachment VI-C

Use this form when approving, updating information or removing an instructor from the approved instructor list. Complete the form and submit it to the Qualification & Certification Unit in Denver. Keep a copy, with instructor monitoring sheets, on file at the District.

4. MSHA Form 5000-17 (Coal only) -- Attachment VI-D

Use this form to report certification/qualification when the candidate meets the requirements by passing a written examination given by MSHA or an MSHA approved State examiner.

5. MSHA Form 5000-23 (Coal & MNM) -- Attachment VI-E

The "Certificate of Training" issued by an operator to document miner training as required by Part 48. At the completion of training, the person conducting the training completes this form. The person responsible for training must sign the form. The trainee has the opportunity to sign. The operator must keep a copy at the mine site for 2 years.

6. MSHA Form 7000-11 (MNM only) -- Attachment VI-F

Use this form after an education and training visit to the mine site. A training specialist or inspector usually completes this form. File the original in the District mine file.

B. Instructor and Course Codes

The following instructor and course codes are referenced when completing forms:

1. Instructor Codes

The following codes will be used when processing MSHA Form 5000-13:

TE - Instructor trained by MSHA (Method 1)

TD - Instructor trained by MSHA approved instructor trainer (Method 2)

AI - Instructor approved based on qualification and teaching experience
(Method 3)

PI - Instructor approved provisionally until MSHA can monitor performance
(Method 4)

MI - Instructor monitored and evaluated by MSHA

2. Course Codes

a. Part 48

IS - Surface

IU - Underground

*If an instructor is limited to teaching specific courses in one or both of the above categories in "a" write in the comments section on the MSHA Form 5000-13 one or all of the specific course codes:

SM - Statutory Rights of Miners

SR - Self-Rescue and Respiratory Devices

TC - Transportation Controls and Communication

WE - Introduction to the Work Environment

EP - Escape and Emergency Procedures

GC - Ground Control

RV - Roof and Rib Control and Ventilation

HA - Health

HR - Hazard Recognition

EH - Electrical Hazards

FA - First Aid

EX - Explosives

MG - Mine Gases
HS - Health and Safety Aspects

b. Parts 56, 57, 75 and 77

AN - Self-Rescuer
MR - Mine Rescue
MS - Mine Emergency Training

c. Parts 70, 71, 75 and 77

AM - Roof and Rib Control
CH - Gas Detection
CI - Dust Certification (Underground)
CJ - Noise Level Testing
CS - Dust Certification (Surface)
CZ - Impoundment Inspection Qualification
EB - Electrical Qualification (Underground)
EC - Electrical Requalification (Underground)

ED - Electrical Qualification (Surface)
EE - Electrical Requalification (Surface)
ER - Electrical High Voltage Underground & Surface
ES - Electrical Retraining High Voltage Underground & Surface
GA - Training for Certified Persons (Underground)
GB - Training for Certified Persons (Surface)
HT - Hoistman Qualification

d. All Parts

FA - First Aid
IN - Instructor Training

C. Required Records

The following is a list of required District records:

1. Training Plans

- a. Training Plan (Form 4000-56 for MNM)
- b. Approval Correspondence

- c. Revisions and Modifications
- 2. Instructor Update File
 - a. Form 5000-13
 - b. Instructor Revocation/Reapproval Administrative Records
- 3. Form 7000-11 - Education and Training Mine Visit Report (Required by MNM; Optional by Coal)
- 4. Education and Training Plan (Required by Coal)
- 5. Evaluations
 - a. Interview Summary Sheet
 - b. Final Report

D. Products and Services Available from the Qualification & Certification Unit in Denver

Requests for these items can be made to the following address or telephone number:

Mine Safety and Health Administration
Qualification & Certification Unit
P.O. Box 25367
Denver, Colorado 80225-0367

Telephone FTS 554-5472 (Government)
303-231-5472 (Commercial)

- 1. Coal
 - a. Instructor Products and Information
 - Instructions for Completing MSHA Form 5000-13 (Instructor Update)
 - List of Authorized Instructor Course Codes
 - Instructor Lists and Labels (ED2100 and ED2105)
 - Instructor Inactive List (ED2121)
 - Active Instructor Comment List (ED2170)
 - Instructor Search (ED9045)
 - Instructor Detail Report of Training (ED9050)

- Electrical Instructors with MSHA Electrical Qualification (ED9200)
- Instructor Lists by Company Name and Labels (ED9240 and ED9241)
- Data Terminal Retrievals to Locate: Instructors SSN (Instr) and Instructors Quals (EDTG)

b. Miners Qualification/Certification Products

- Instructions for Completing MSHA Form 5000-1 (Training Record) and MSHA Form 5000-17 (Exam Record)
- Qualification and Certification Coding (Miners)
- List of Certified and Qualified Miners (ED9010)
- List of Electrical Expired Qualifications - Purged each January (ED9011)
- Miners who had Methane Courses from 1971 through 1977 (ED9020)
- Miners Qualified or Unqualified in Methane (ED9040)
- Miner History Information (ED9090)
- Training by Selected Courses (ED9105)
- Miners Examination Reports (ED9170)
- Ratio of Electrical Qualified Miners vs Miners Employed (ED9190)
- Data Terminal Retrieval to Locate: Miners SSN (Namefind) and Miners Qualifications (Miner)

c. Mine ID Products, Statistics and Information

- Mine ID Lists and Labels (ED2130)
- Contractor ID Codes and Addresses (ED2135)
- Mine Count by Counties within States (ED9030)
- Mine Totals - SIC Code within States (ED9480)
- Data Terminal Retrievals to Locate: Mine ID Training (EDTG) and Mine ID Address and Status (EDTG)

d. Accident/Injury Products

- Accident Data Analysis (ADA) (ED7016)
- Employment and Injury Data by Mine ID

e. Miscellaneous Products and Information

- Purpose and Presentations Available
- Data Products Request Form (Coal)
- Gummed Address Labels (ED9160)
- Privacy Act Notice for Mandatory Training

- Distribution

2. Metal and Nonmetal

a. Instructor Products and Information

- Instructor Update Form (MSHA Form 5000-13)
- Instructor Authorized Course Codes
- State Codes and State Abbreviations
- Instructor List (ED2100)
- Instructor Labels (ED2105)
- Instructor Inactive List (ED2121)
- Instructor Active Comment List (ED2170)
- Instructor List by Company Name and Labels (ED9240 and ED9241)
- Data Terminal Retrievals to Locate: Instructor SSN (Instr) and Instructor Qualification (EDTG)

b. Mine ID Products and Information

- Mine ID Lists with Totals and Labels by States or Districts (ED2130)
- Mine ID and Nonexempt Lists with Totals and/or Labels
- Mine Count by Counties within States (ED9030)
- Mine Totals - SIC Code within States (ED9480)
- Data Terminal Retrievals to Locate: Mine ID Address and States (EDTG)

c. Accident/Injury Products

- Accident Data Analysis (ADA) (ED7016)
- Employment and Injury Summary by Mine ID

d. Miscellaneous Products and Information

- Purpose and Presentations
- Computer Products Request Form (MNM)
- Contractor ID Codes and Addresses (ED2135)
- Gummed Address Labels (ED9160)
- Privacy Act Notice for Mandatory Training
- Distribution

CHAPTER VII - ACTIVITIES UNDER SECTION 502 OF THE 1977 MINE ACT

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- B. Suggested District Activities
 - 1. Field Office/Inspector/Training Specialist Level .
 - 2. District Level
- C. National Mine Health and Safety Academy Activities
- D. Technical Support Activities

CHAPTER VII - ACTIVITIES UNDER SECTION 502 OF THE 1977 MINE ACT

A. Purposes and Documentation

Section 502 of the 1977 Mine Act requires the Secretary to expand programs for education and training in recognition, avoidance, and prevention of accidents and unsafe or unhealthful working conditions in mines. This requires that MSHA help mine operators in their safety and health training and in their compliance with training regulations. This chapter deals with activities that MSHA can undertake to fulfill this requirement.

Inspectors and training specialists are in direct contact with mine operators, their agents, and miners on a daily basis. For this reason they can have a significant influence on education and training program expansion and improvement.

Inspections and investigations often identify weaknesses in mine safety and health programs. The mine's training program provides a powerful tool for correcting these weaknesses. A mine training program evaluation often results in the expansion of education and training programs. In addition to performing Part 48 program evaluations, training specialists often help mine operators in the development of training programs and courses.

The Districts can provide a wide variety of safety and health program assistance. Because of on-site presence this assistance can be mine specific. Training specialists can offer recommendations, develop walk and talk materials, give tailgate safety talks, and provide other useful materials.

For Accountability Program purposes, Districts must maintain a system for documenting Section 502 activities. Such documentation might include field notes, activity reports, special tracking systems, etc. Whenever possible, documentation should show findings, provide solutions, and plan follow-ups to determine changes and the effect of the changes.

The following are examples of Section 502 activities. The Districts may develop additional activities as needed.

B. Suggested District Activities

1. Field Office/Inspector/Training Specialist Level

- Conduct walk and talks, tailgate safety discussions, lunch box safety talks
- Participate in industry workshops
- Discuss any observed unsafe acts with personnel during regular inspections

- Discuss with personnel why violations exist and what could be the results if these situations continue
- Suggest alternate compliance methods
- Make suggestions on how to eliminate or prevent violations
- Suggest appropriate training solutions based on observations

2. District Level

- Hold or attend regular meetings with mining associations
- Conduct Joint Industry Training (JIT) with UMWA and MSHA
- Distribute training materials as requested
- Meet with industry representatives and academia to identify regional training needs
- Act as liaison between technical support and mines
- Help organize and hold regional and national mine rescue contests
- Assist in the design of individual mine corrective safety training programs
- Publish and distribute newsletters
- Provide hazard alerts
- Conduct certification and qualification training

C. National Mine Health and Safety Academy Activities

- Develops safety and health programs, materials, and audiovisuals to fit industry needs
- Provides safety and health training for industry, labor and government personnel
- Provides safety and health training for industry, labor and government in the development and implementation of Job Safety Analysis (JSA)
- Provides use of Academy facilities to labor, industry and government personnel for their training purposes

- Organizes and hosts safety and health conferences for industry, labor and government
- Provides instructors for District regional safety and health conferences, seminars and workshops
- Provides certification and qualification training
- Meets annually with industry and labor to determine training needs
- Provides training via satellite broadcasts

D. Technical Support Activities

- Provides technical assistance to mines
- Provides accident analysis and hazard recognition materials for mining
- Conducts technical instruction at mines, conferences, seminars and workshops
- Coordinates training research needs

CHAPTER VIII - STATE GRANTS PROGRAM

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- A. MSHA Districts Role
- B. Planning Procedure for the State Grant Proposals
- C. Processing Grant Proposals
- D. State Grant Instructors
- E. Evaluation Procedure for the State Grants Program

CHAPTER VIII - STATE GRANTS PROGRAM

Section 503 of the Federal Mine Safety and Health Act of 1977 established the State Grants Program.

A. MSHA Districts Role

The MSHA Districts and State grantees cooperate to improve the health and safety conditions in the Nation's mines. The Districts may provide and should encourage the grantee to use:

1. Accident data from the Safety and Health Technology Center.
2. Instructor information from the Qualification & Certification Unit.
3. New training programs available from the National Mine Health and Safety Academy.
4. Instructors from the National Mine Health and Safety Academy.
5. Accident Data Analysis (ADA) Program from the Bureau of Mines.

B. Planning Procedure for the State Grant Proposals

1. The Districts may assist the States in the development of their grant proposal by identifying problem areas within their Districts or States, by analyzing:
 - a. Violation history
 - b. Accident/Incident rates
 - c. Root causes of accidents
 - d. Root causes of violations
 - e. Feedback from E&T specialists
 - f. Feedback from the industry
 - g. ADA printouts

2. Each District determines how miner training impacts each of the identified problem areas.
3. In States that encompass several Districts, those Districts should coordinate training needs throughout the State.
4. The District meets with or actively participates on State Grants Advisory Committee(s), if applicable, to:
 - a. Share MSHA training concerns.
 - b. Share identified industry training needs.
 - c. Get input from the States concerning their identified needs.
 - d. Determine which needs the District can satisfy.
 - e. Determine which needs the State Grant can satisfy.
 - f. Determine which needs other training sources, such as the Academy, can satisfy.
5. The States complete their grant proposals and forward copies of the applications to the State Grants Staff Specialist.

C. Processing Grant Proposals

The State Grants Staff Specialist receives proposals for grants from the States. The Staff Specialist reviews them for consistency with MSHA's goals and for completeness of information.

1. A State submits the grant proposal in April of each year to the State Grants Staff Specialist.
2. The Staff Specialist forwards the proposals to the Administrators for Coal and Metal and Nonmetal, or their representatives, for comments.
3. The Administrators, or their representatives, forward a copy of the grant proposal to the appropriate District for review and comments.
4. Within 30 days after receipt of the grant proposal, the District forwards any comments and recommendations to the Administrators for Coal and Metal and Nonmetal.

5. The Staff Specialist reviews the comments and recommendations for possible inclusion in the grant proposal.
6. The grant proposal is either approved by the Chief, Division of Program & Policy Coordination, or returned to the appropriate grantee for revision.

The District should contact the State Grants Staff Specialist any time there is a problem or concern that a grant program is not meeting the needs of the mining community within the District's jurisdiction.

D. State Grant Instructors

State Grant instructors are cooperative instructors. Chapters III, IV, and V of this handbook cover guidelines to follow for cooperative instructors. To make their courses mine specific, State Grant instructors must:

1. Meet and work with the operators.
2. Use the mines' training plans.
3. Coordinate with District personnel whenever possible.

Each District should maintain a file on State Grant cooperative instructors. These files should contain instructor evaluations and other pertinent information about any program review conducted by the District, Office of Educational Policy and Development (EPD) or the State Grants Staff Specialist. The District should maintain these files for a minimum of 3 years.

E. Evaluation Procedure for State Grants Program

The following activities represent a complete State Grant Program evaluation. The District may use portions of these activities as resources and needs dictate. A complete evaluation includes:

1. Monitoring training class.
 - a. Determine if training matches the training plan.
 - b. Determine if training is mine specific, if applicable.
 - c. Determine the quality of instruction.
 - d. Determine if class size matches the plan.

2. Obtaining feedback about training class.
 - a. Documentation.
 - b. Interviews from miners trained.
 - c. Student class evaluations, if applicable.
3. Determining qualification/certification of instructor.

If necessary, the Districts should also use the following procedures when performing a State Grant evaluation.

- Obtain feedback from inspectors.
- Analyze citations/orders concerning inadequate training.
- Compile and analyze complaints.
- Determine source of training (State, State Grants, subgrantee, company, contract).
- Review results of any State evaluation.
- Review results of program audit by EPD/District.

The District should keep a copy of the evaluation results in the State Grant file. EPD will review these findings when conducting an EPD grant evaluation.

CHAPTER IX - JOSEPH A. HOLMES AND HOLMES SAFETY ASSOCIATIONS

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2. Awards and Criteria
3. Processing of Applications
4. District Involvement

B. Holmes Safety Association

1. Origin and Purpose
2. Association Activities
3. District Involvement

CHAPTER IX - JOSEPH A. HOLMES AND HOLMES SAFETY ASSOCIATIONS

A. Joseph A. Holmes Safety Association

1. Origin and Purpose

In 1916, 24 leading national organizations of the mining and related industries founded the Joseph A. Holmes Safety Association (JAHSa). JAHSa commemorates the efforts of Dr. Joseph A. Holmes, the first director of the Bureau of Mines. The purposes were to reduce accidents and illness and to promote principles of safety and conservation of life in those industries.

2. Awards and Criteria

a. Type "A" Awards--for Acts of Heroism

The recipients of these awards receive medals with either a Medal of Honor Certificate or a Certificate of Honor.

These awards are for personal heroism in saving a life. The heroic act may occur in the line of duty or not, by an active or inactive employee of any branch of the mining and related industries.

The JAHSa Awards Committee may also recommend awards for individuals who commit heroic acts while temporarily associated with the mining and related industries. The Association accepts applications within 2 years of the incident.

Each individual involved in a group action who displayed extraordinary courage may receive one of these awards.

(1) Medal of Honor awards are given for any one or combination of the following actions:

- (a) Performing an act to save a life and the individual loses his or her own life.
- (b) Performing an act where the individual seriously risks his or her own life and saves the lives of one or more persons.
- (c) Trying at serious risk of his or her own life to save the life of one or more persons without success.

- (2) Certificates of Honor are given for any one or combination of the following actions:
- (a) Aiding in saving a life, at some personal risk, while working under the direction of another person.
 - (b) Removing or aiding in removing the subject from an electrified circuit at some personal risk.
 - (c) Using correct lifesaving methods and practices to try to save a life, while also taking some personal risk.
 - (d) Giving warning at personal risk of impending danger to others.
 - (e) Directing individuals to a place of safety while exposed to some personal danger.
 - (f) Staying at his or her post of duty in presence of impending danger to self and others.
 - (g) Aiding with others collectively at personal risk to save the lives of one or more persons.

The work of trained mine rescue teams is not normally eligible for Type "A" Awards. However, extraordinary cases may receive consideration.

- (3) The Secretary/Treasurer of the Association should receive the following information by April 1:
- (a) Name and occupation of each person recommended for an award.
 - (b) Name and address of employer.
 - (c) MSHA mine identification number.
 - (d) Place and date of the incident.
 - (e) Name of other person(s) involved.
 - (f) Complete details of occurrence and degree of risk involved.

b. **Type "B-1" Award--for Individual Workers**

The recipients of these awards receive Certificates of Honor, gold pins and decals bearing the insignia of the Association.

Eligibility for this award requires a minimum of 40 years of continuous work experience in the mining and related industries without incurring an injury that resulted in lost workdays. This experience does not include clerical or office work. The Association accepts applications for retired individuals within two years after their retirement date.

Upon retirement, former recipients are eligible for an individual award. They must have added 5 or more years to their previous work record without incurring an injury with lost workdays.

The Secretary/Treasurer of the Association should receive the following information by April 1:

- (1) Name and occupation of person(s) recommended.
- (2) Name and location of mine or plant where employed.
- (3) Name and address of employer(s) and MSHA mine identification number.
- (4) Type of industry in which the person(s) has worked, such as copper smelter, cement plant, petroleum refinery, coal or metal mine (underground or surface).
- (5) Principal product.
- (6) Beginning and ending dates (month, day, year) of the record period. If the record is continuing, give the beginning date of the record and the date of submitting the record, with the notation "and continuing."
- (7) Any other information that might help in considering the case. State whether work experience was underground, surface, or both.
- (8) Signature of responsible official on the application.

Newspaper items are not acceptable proof of achieving records without incurring an injury with lost workdays.

- c. **Type "B-2" Award--for Individual Officials** (for record of group working under their supervision)

The recipients of these awards receive Certificates of Honor.

Supervisors are eligible for this award if their crews have achieved a safety record of no lost time accidents in more than 250,000 work-hours underground or 350,000 work-hours surface work. The Association will consider lower work-hour achievements if the record spans more than 5 years. The Association recommends safety records greater than 20 years without regard to work-hour totals.

The Association does not usually consider officials in policy making capacity for awards, unless they are directly responsible for developing the program or directing the work.

The Association gives only one award for a single record. For example, both a shift boss and a mine supervisor do not receive an award for the same cited record. However, the Association considers additional awards for officials whose achievements have exceeded their previous records by 50,000 work-hours or more.

The Secretary/Treasurer of the Association should receive the following information by April 1:

- (1) Name and occupational title of official(s) recommended.
- (2) Name and address of the employer and MSHA mine identification number.
- (3) Type of industry, such as copper smelter, cement plant, petroleum refinery, coal or metal mine (underground or surface), and the department making the record. If the record took place at a mine or quarry, state whether the achievement was underground or on the surface.
- (4) Date of the last injury with lost workdays.
- (5) Beginning and ending dates (month, day, year) of the period covered by the record. If the record is continuing, give the beginning date and the date of the application, with the notation "and continuing."
- (6) Total work-hours of exposure in the period covered by the record. The Association cannot consider applications without this figure.

- (7) Average number of employees supervised by the official during the period covered by the record.

d. **Type "C" Award--for Safety Records**

The recipient of this group award receives a Certificate of Honor.

This award recognizes good safety records of companies; safety organizations; mines; quarries; groups of mines, quarries or plants (when the grouping includes all the mines or plants in the area or district); and any operating department, except clerical (office).

Records compiled in the mining and related industries qualify for this group award. This does not include records in any manufacturing operations. Any operation from extracting the mineral to casting of the metal is eligible. Further processing is classified as manufacturing. All operations that extract crude oil and natural gas or refine petroleum products are eligible. Petrochemical processing operations are not eligible. At mineral processing plants (such as phosphate, cement, or lime plants), all concentrating, crushing, washing, grinding, drying, and storing operations are eligible for this award.

The Association uses the following criteria in considering Type "C" awards:

- (1) A minimum of 4,000,000 work-hours worked without a fatality or permanent total disability. The record must exceed six calendar months of operations.
- (2) A minimum of 600,000 work-hours worked without an injury with lost workdays. The record must exceed 6 calendar months of operations.
- (3) For underground mines, the Association considers proposals combining injury-free records with nonfatality or permanent total disability records. However, when the nonfatality or permanent total disability record exceeds 3,000,000 work-hours, the Association gives separate awards.
- (4) The Association also recognizes improvements by injury rates, either incidence or severity measures or both. Award requirements involve steady notable improvements of rates over several years. The Association cannot consider improvements for 1 year compared to the previous year or average of several previous years.

- (5) The Secretary/Treasurer of the Association should receive the following information by April 1:
- (a) Name(s) and address(es) of the mines, quarries, plants, or other mineral operations.
 - (b) Principal product(s).
 - (c) Name(s) and address(es) of the companies and MSHA mine identification numbers.
 - (d) Type(s) of operation (underground, surface, preparation plant, etc.).
 - (e) Name(s) of immediate supervisor(s) who directed the work, if you want his or her names on the award citation. The supervisors do not receive a separate award for the same record.
 - (f) Date of the last fatality or permanent total disability if the record is on a nonfatality basis, including permanent total disability.
 - (g) Date of the last injury with lost workdays if the record is on the basis of injury with no lost workdays.
 - (h) Beginning and ending dates (month, day, year) of the record. If the record is continuing, close at the date of submitting the record.
 - (i) Average number of employees in the group who achieved the record during the period covered.
 - (j) Total work-hours of exposure in the period covered by the record. The Association cannot consider applications without this figure. Where the record is for steady and notable improvement of injury rate over several years, submit the proper data for each year.

e. **Other Awards**

- (1) Workers who complete 10, 20, and 30 years without an injury with lost workdays are eligible to receive certificates and the following:

30 years--Silver pin and decal bearing the insignia of the Association.

20 years--Bronze pin and decal bearing the insignia of the Association.

10 years--Decal bearing the insignia of the Association.

Workers performing clerical or office work are not eligible for 10-, 20-, and 30-year awards.

The Association will arrange for the purchase of the pins and decals (a picture of the pin on a luminous decal that can be worn on hard hats) at cost to employers submitting proper applications. The Association approves only one award of each type (10-, 20-, 30-year awards) for an individual. The employer will present the award(s). The accuracy of the information is the employer's responsibility. The employer may need to contact other employers, mining institutes, State departments of mines, local or district unions, or other reliable sources.

The employer may submit applications for 10-, 20-, and 30-year awards at any time during the year to the Secretary/Treasurer of the Association. The Secretary/Treasurer will supply the certificates and the order forms for the pins and decals. Give the following information:

- (a) Type of award (10-, 20-, 30-year).
- (b) Name of individual.
- (c) Period of work without an injury with lost workdays. Give beginning and ending dates (month, day, year) of the period covered.
- (d) Occupation of individual.
- (e) Name of mine, plant, or other mineral operation of present employment, location, and MSHA mine identification number.

- (f) Type of operation (underground, surface, preparation plant, etc.).
- (g) Principal product.
- (h) Brief details of previous employment, if any.
- (i) Name and address of company presently employing individual and MSHA mine identification number.
- (j) Signature and title of responsible company official submitting the record.
- (k) Date of application.

(2) Special Award (For Small Operators)

One function of the Association is to acknowledge excellent safety records. The Association gives this special award to small operators with 25 employees or less in recognition of their outstanding safety records.

Many safety departments have used these awards to reward their employees for their group and personal contributions to safety. The awards inform the community that industry does care about the welfare of its employees.

To recognize the smaller operations for their safety efforts, the Association has revised the present system and developed a reduced number of work-hours.

The recipients of these awards receive Certificates of Honor.

This award covers all underground mining, surface mining, quarrying, petroleum drilling and other operations such as plant and shop operations, mills, concentrators, petroleum industry, smelters, and reduction works.

The following criteria apply:

- (a) A minimum of 100,000 work-hours worked without a fatality or permanent total disability. The record must exceed 6 calendar months of operation.
- (b) A minimum of 50,000 work-hours worked without an injury

with lost workdays. The record must exceed 6 calendar months of operation.

(c) The Secretary/Treasurer of the Association should receive the following information by April 1:

- Name and address of the mine, quarry, plant, or other mineral operation.
- Principal product.
- Name and address of the company and MSHA mine identification number.
- Type of operation (underground, surface, preparation plant, etc.).
- Name of the immediate supervisor who directed the work, if you want his/her name on the award citation. The supervisor and company do not receive a separate award for the same record.
- Date of the last fatality or permanent total disability if the record is on a nonfatality basis, including permanent total disability.
- Date of the last injury with lost workdays if the record is on the basis of injury with no lost workdays.
- Beginning and ending dates (month, day, year) of the award period. If the record is continuing, close at the date of submitting the record.
- Average number of employees in the group who achieved the record during period covered.
- Number of work-hours worked for the period in the application.

3. Processing of Applications

Applications for all awards should be mailed to:

Joseph A. Holmes Safety Association

National Mine Health and Safety Academy
P.O. Box 1166
Beckley, WV 25802-1166

(You may reproduce award application forms locally.)

Upon receipt, the Secretary/Treasurer of the Association will process each application, prepare the wording for the award(s), and mail a copy of the application(s) to each of the five members of the appropriate awards committee. The Hero and Safety Award Committees review each application and submit their recommendations to the Board of Directors and the Council for final action at the annual meeting.

The employer may buy pins and decals for the 10-, 20-, 30-, and 40-year awards. The Association will send order forms to everyone who submits applications for 10-, 20-, 30-, and 40-year awards. Make all checks payable to the designated vendor and mail with the completed order forms.

4. District Involvement
 - a. Districts are requested to promote the importance of safety programs with mine operators and company officials by discussing the purpose of the Joseph A. Holmes Safety Association (JAHSa), etc.
 - b. Districts receive a computer printout annually of the operations in their District that may be eligible for awards. The Districts should contact the operators and explain the program and the importance of excellent safety records. They should assist the operator in completing the necessary information when appropriate.

For assistance with JAHSa activities contact:

Educational Policy and Development
4015 Wilson Boulevard
Arlington, Virginia 22203

Telephone: (FTS/703) 235-1400; or,

JAHSa's Secretary/Treasurer

FTS 930-3245 (Government)
304/256-3245 (Commercial)

B. Holmes Safety Association

1. Origin and Purpose

In 1926, the Board of Directors of the Joseph A. Holmes Safety Association established the Holmes Safety Association (HSA). They granted authority for the Association to assume the direction and control of all existing chapters and all new branches or divisions. The Association is a self-governing body with six representatives elected annually who serve on the Board of Directors of the Joseph A. Holmes Safety Association.

The goal of the Association is prevention of fatalities and injuries and improvement of health-related conditions of all persons connected with the mining and related industries.

HSA State and District Councils provide a forum to recognize those individuals, work groups and companies for special achievements in improving safety and health of the workers. Examples include improving safety by implementing a successful safety program, modifying a work procedure, redesigning equipment, etc.

2. Association Activities

- a. Hold safety meetings.
- b. Organize safety campaigns.
- c. Distribute information and instruction on subjects related to the promotion of health and safety and the prevention of fires, explosions or disasters from other causes.
- d. Have cooperative relations between organizations, including labor, management and State and Federal agencies.
- e. Promote education, social, and recreational activities in the mining and related industries.

The Association publishes a periodical 11 times a year that contains useful safety and health information. These books are free of charge to HSA Chapters and can be a source of information to use in safety and health meetings and talks.

3. District Involvement

- a. Districts are requested to promote the HSA safety program to mine operators and company officials and encourage their participation.

- b. Districts should have personnel participate in HSA activities when possible.

For assistance with HSA safety activities, including forming Chapters and Councils, contact:

Educational Policy and Development
4015 Wilson Boulevard
Arlington, Virginia 22203

Telephone: (FTS/703) 235-1400